

I hereby certify that this paper is being deposited this date with the U.S. Postal Service as Express Mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C., 20231 and Express mailed under the provisions of 37 CFR § 1.10

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Name

Signature

January 23, 1998

Date

JC511, U.S. PTO
09/012679



TO THE COMMISSIONER OF PATENTS AND TRADEMARKS:

Transmitted herewith for filing is the patent application of:

Applicant: **Gautam Bhandari and Thomas H. Baum**Title: **"TANTALUM AMIDE PRECURSORS FOR DEPOSITION OF TANTALUM NITRIDE ON A SUBSTRATE"**Filing Date: **January 23, 1998** (Express Mail Filing Under 37 CFR § 1.10)

Enclosed are:

- ☒ Specification, claims, and abstract.
☒ 2 sheet(s) of drawing(s).
☒ An Assignment of the invention to Advanced Technology Materials, Inc.
☒ Declaration and power of attorney.
☐ A certified copy of a _____ application.
☒ A verified statement to establish small entity status under 37 CFR § 1.9 and 37 CFR § 1.27.
☐ other: _____

CLAIMS AS FILED:

		Column 1	Column 2	Small Entity		OR	Other Than a Small Entity	
FOR:	NO. FILED	NO. EXTRA		RATE	FEE		RATE	FEE
BASIC FEE					\$395.00	OR		\$790.00
TOTAL CLAIMS	15 - 20 =	0*		x \$11 =		OR	x \$22 =	
INDEP. CLAIMS	2 - 03 =	0*		x \$41 =		OR	x \$82 =	
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENTED				+ \$130 =	0	OR	+ \$270 =	
				Total	\$		Total	
Fee for recording the assignment=					\$40.00			\$40.00
TOTAL=					\$435.00			

* If the difference in Column 1 is less than zero, enter "0" in Column 2.

- ☒ A check in the amount of \$435.00 (check number 4735) to cover the filing fee and fee for recording the assignment is enclosed.
- ☒ The Commissioner is hereby authorized to charge any deficiency or credit any excess payment in connection with the filing of this application to Deposit Account No. 08-3284. A duplicate copy of this sheet is enclosed.

Steven J. Hultquist, Reg. No. 28021

Date: 23 January 1998

INTELLECTUAL PROPERTY/TECHNOLOGY LAW
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VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c)) - - SMALL BUSINESS CONCERN

Docket No. 2771-221

Applicant: Advanced Technology Materials, Inc.Title: "Tantalum Amide Precursors for Deposition of Tantalum Nitride on a Substrate"Filing Date: (EXPRESS MAIL FILING UNDER 37 CFR 1.10)

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN:

Advanced Technology Materials, Inc.

ADDRESS OF SMALL BUSINESS CONCERN:

7 Commerce DriveDanbury, Connecticut 06810

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ The specification filed herewith with title as listed above.
☐ Application Serial No. _____ filed _____
☐ U.S. Patent No. _____ Issued _____

If the rights held by the above-identified independent inventor are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a non-profit organization under 37 CFR 1.9(c).

Each person, concern or organization having any rights in the invention is listed below:

- ☒ No such person, concern, or organization exists.
☐ Each such person, concern or organization is listed below:

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at any time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Ward C. StevensTITLE OF PERSON IF OTHER THAN OWNER Vice PresidentADDRESS OF PERSON SIGNING 7 Commerce Drive, Danbury, CT 06810SIGNATURE [Signature] DATE 1/23/98